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KMZ Rosenman
KATTEN MUCHIN ZAVIS ROSENMAN1025 Thomas Jefferson Street, N.W.
East Lobby, Suite 700
Washington, DC 20007-5201
202 625 3500 office 202 294 7570 fax**Facsimile**

| | | | |
|--------------------------|----------------|-------------------|---------------------|
| To | Company | Fax Number | Phone Number |
| 1. Examiner Ella Colbert | USPTO | 703-872-9306 | 703-308-7064 |

| | |
|------------------|---|
| Date | Client/Matter Number |
| November 2, 2004 | U.S. Patent Appln. No. 10/073,632; our 333307.00002 |
| From | Attorney Number |
| Richard P. Bauer | 33549 |
| Phone | Fax |
| 202-625-3507 | 202-298-7570- |

Total number of pages, including cover letter: 21
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Comments

Attached herewith is a Response To Office Communication (mailed September 30, 2004) and a Revocation and New Power of Attorney.

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Doc # WASH: (333307-00002) 41371730v1, 11/02/2004/Time: 11:03

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In re Application of:

Docket No. 333307.00002

BRIAN C. TARBOX, ET AL.

Application No.: 10/073,632

Examiner: Ella Colbert

Filed: February 11, 2002

Group Art Unit: 3624

For: SYSTEMS AND METHOD FOR
IMPROVING INVESTMENT PERFORMANCE

Date: November 2, 2004

THE COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Sir:

Transmitted herewith is a Response To Office Communication and a
Revocation and New Power of Attorney in the above-identified application.

☒ No additional fee is required.

The fee has been calculated as shown below

| CLAIMS AS AMENDED | | | | | | |
|--|--|-------|---|-------------------------|----------------|-------------------|
| | (2) CLAIMS REMAINING AFTER AMENDMENT | | (4) HIGHEST NO. PREVIOUSLY PAID FOR | (5) PRESENT EXTRA | RATE | ADDITIONAL FEE |
| TOTAL CLAIMS | * 22 | MINUS | ** 22 | = 0 | x \$9 \$18 | \$000.00 |
| INDEP. CLAIMS | * 2 | MINUS | *** 3 | = 0 | x \$44 \$88 | \$000.00 |
| Fee for Multiple Dependent claims \$150°/\$300 | | | | | | |
| TOTAL ADDITIONAL FEE FOR THIS AMENDMENT— | | | | | | \$000.00 |

☐ °Verified Statement claiming small entity status is enclosed, if not
filed previously.

☐ A check in the amount of \$_____ is enclosed.

☐ Charge \$_ to Deposit Account No. 50-1710 for the additional claims
fee. A duplicate copy of this sheet is attached.

- ☒ The Commissioner is hereby authorized to charge any fees due with respect to this filing to Deposit Account No. 50-1710. A duplicate copy of this paper is enclosed.
- ☐ Charge _ to Deposit Account No. 50-1710 to cover the fee for a _ month extension of time fee. A duplicate copy of this paper is attached.
- ☐ Charge \$_ to Deposit Account No. 50-1710 to cover the Information Disclosure Statement fee. A duplicate copy of this paper is attached.
- ☒ Applicants' undersigned attorney may be reached in our Washington, D.C. office by telephone at (202) 625-3507. All correspondence should continue to be directed to our address given below.

Respectfully submitted,



Attorneys for Applicants

Registration No. 31,588

PATENT ADMINISTRATOR
KATTEN MUCHIN ZAVIS ROSENMAN
525 West Monroe Street
Suite 1600
Chicago, Illinois 60661-3693
Facsimile: (312) 902-1061

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Atty Dkt 333307.00002

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | |
|------------------------------|---|------------------------|
| In re Application of: |) | |
| | : | Examiner: Ella Colbert |
| BRIAN C. TARBOX ET AL. |) | |
| | : | Group Art Unit: 3624 |
| Application No.: 10/073,632 |) | |
| | : | |
| Filed: February 11, 2002 |) | Confirmation No.: 6664 |
| | : | |
| For: SYSTEMS AND METHODS FOR |) | |
| IMPROVING INVESTMENT | : | |
| PERFORMANCE |) | November 2, 2004 |

Mail Stop No Fee Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RESPONSE TO OFFICE COMMUNICATION

Sir:

As indicated in the concurrently-filed Revocation
and New Power of Attorney, please change the attorney docket
number for the subject application to **333307.00002**, and
direct all further correspondence to:

PATENT ADMINISTRATOR
KATTEN MUCHIN ZAVIS ROSENMAN
525 West Monroe Street
Suite 1600
Chicago, Illinois 60661-3693
Facsimile: (312) 902-1061

In response to the September 30, 2004 Office Communication, and with the understanding that the July 19, 2004 Amendment has been entered, please enter the following amendments and remarks.

I. Amendments to the Specification begin on page 3 of this paper.

II. Remarks begin on page 6 of this paper.